



2164

100/004  
PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

hereby certify that this correspondence is being deposited with the U.S. Postal Service as first class mail in an envelope addressed to Commissioner of Patents and Trademarks, Washington, D.C. 20231 on August 27, 2001.

Scot A. Reader

#2  
PH  
11-13-01

Applicant : Scot A. Reader  
Application No. : 09/874,870  
Filed : June 5, 2001  
Title : METHOD AND APPARATUS FOR VALUING PATENT ASSETS  
Grp./Div. : 2164  
Examiner : Not yet assigned  
Docket No. : 100/004

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**INFORMATION DISCLOSURE STATEMENT  
37 CFR § 1.97(b)**

Assistant Commissioner for Patents  
Washington, D.C. 20231

3424 Woodcliff Road  
Sherman Oaks, CA 91403  
August 27, 2001

Commissioner:

In compliance with the duty of disclosure under 37 CFR §§ 1.56, 1.97 and 1.98, and in accordance with the provisions in the Manual of Patent Examining Procedure §§ 609 and 707.05(b), enclosed is FORM PTO-1449 listing the references that are known to applicant. Copies of each of the listed references are enclosed. This filing is timely because it is made during one of the periods described in 37 CFR § 1.97(b).

It is respectfully requested that the listed references be considered in the examination of this application and identified on the list of references cited on the patent issuing for this application. Applicant also requests that an initialed copy of FORM PTO-1449 be entered in the application file and returned to applicant with the next communication from the Office in accordance with MPEP § 609.

Respectfully submitted,

By

Scot A. Reader  
Reg. No. 39,002  
818.788.6503

Enclosures: PTO-1449, w/references

AUG 30 2001

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Attorney Docket Number	100/004
Application Number	09/874,870
Filing Date	June 5, 2001
Applicant(s)	Scot A. Reader
Group Art Unit	2164
Examiner Name	Not yet assigned

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**U.S. PATENT DOCUMENTS**

EXAMINER INITIALS	DOCUMENT NUMBER	ISSUE DATE	PATENTEE	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE

**FOREIGN PATENT DOCUMENTS**

EXAMINER INITIALS	DOCUMENT NUMBER	PUBLICATION DATE	COUNTRY OR PATENT OFFICE	CLASS	SUBCLASS	TRANSLATION	
						YES	NO

**OTHER DOCUMENTS**

EXAMINER INITIALS	Include name of the author (in CAPITAL LETTERS), title of the article, title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
	KEVIN G. RIVETTE & DAVID KLINE, "Discovering New Value in Intellectual Property," Harvard Business Review Reprint R00109 (Jan.-Feb. 2000) "Introducing ... TAEUSWorks(SM)," <a href="http://www.tacus.com/docs/04-01-tacusworks.html">www.tacus.com/docs/04-01-tacusworks.html</a> (Apr. 2001)

EXAMINER SIGNATURE	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.



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	GREGORY J. BATTERSBY & CHARLES L. GRIMES, Licensing Royalty Rates 2001 Ed., 1-19 (2001) University of Texas Law School Fifth Annual Adv. Patent Law Institute, Seminar Materials for IP Valuations Panel Discussion, David McCombs, Moderator, 44 pages (Nov. 2000)
	NICK BERTOLOTTI, "Valuing Intellectual Property," Managing Intellectual Property 28-32 (Feb. 1995)
	RICHARD A. NEIFELD, "A Macro-Economic Model Providing Patent Valuation and Patent Based Company Financial Indicators," 83 J.P.T.O.S. 211-22 (Mar. 2001)
	RICHARD A. NEIFELD, "A Macro-Economic Model Providing Patent Valuation and Patent Based Company Financial Indicators," <a href="http://www.patentvaluepredictor.com/publ_30apr2001_article.asp">www.patentvaluepredictor.com/publ_30apr2001_article.asp</a> (Apr. 30, 2001)
	GORDON V. SMITH & RUSSELL L. PARR, Valuation of Intellectual Property and Intangible Assets, 3d Ed., 333-83 (2000)
	MELVIN SIMENSKY & LANNING G. BREYER, The New Role of Intellectual Property in Commercial Transactions: Recent Trends in the Valuation, Exploitation and Protection of Intellectual Property, 58-61 (1994)
	ROBERT PITKETHLY, "The Valuation of Patents: A Review of Patent Valuation Methods with Consideration of Option Based Methods and the Potential for Further Research," Judge Institute Working Paper WP 21/97 (March 1997)

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